



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/841,388	04/24/2001	Asif Adata	11252-005	6352

7590 07/14/2004

Steven J. Gelman  
Klehr, Harrison, Harvey, Branzburg, & Ellers  
260 South Broad Street  
Philadelphia, PA 19102

EXAMINER

WASYLCHAK, STEVEN R

ART UNIT	PAPER NUMBER
----------	--------------

3624

DATE MAILED: 07/14/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Response to Applicant's Amendment**

The amendment filed on April 5, 2004 is not fully responsive to the prior Office action because of the following omission(s) or matter(s): the Applicant's reply does not comply with 37 C.F.R. 1.111 (b) because it does not include arguments pointing out specific distinctions believed to render the added new claim(s) 14-23, with respect to both independent *and each* dependent (the individual dependent claims may subsequently be changed to independent claims) on page 11 of the April 5, 2004 amendment are patentable over the applied references (see attached). 37 C.F.R. 1.111(b). Since the above-mentioned reply appears to be *bona fide*, applicant is given a time period of **ONE (1) MONTH or THIRTY (30) DAYS** from the mailing date of this notice, whichever is longer, within which to supply the omission or correction in order to avoid abandonment. Extensions of this time period maybe granted under 37 CFR 1.136(a).

This action is **NON-FINAL**. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Steven R. Wasylchak whose telephone number is (703) 308-2848. The examiner can normally be reached on Monday-Thursday from 7:00 a.m. to 6:00 p.m. EST.

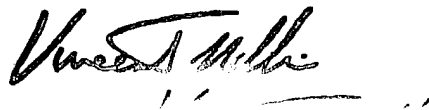
Art Unit: 3624

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin, can be reached at (703) 308-1065. The fax number for Art Unit 3624 is (703) 305-7687.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

Steven Wasylichak

7/11/04



**VINCENT MILLIN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600**

Application No.: 09/841,388  
Amendment Dated: April 5, 2004  
Reply to Office Action Dated: December 5, 2003

Accordingly, Applicant kindly requests withdrawal of the existing Section 102(b) and 103(a) rejections of original claims 1-13.

The same reasoning carries even greater force in respect to newly added claims 14-23 which specifically call for:

at least one broker filter for determining whether the order can be processed;

at least one trader filter for determining whether the order can be automatically executed; and

at least one compliance filter for determining whether the order meets the criteria of the market on which the security is traded.

Teachings of Applicant's broker, trade and compliance filters are simply not found or even remotely suggested in the Kennedy patent.

In view of the foregoing, the instant application is believed to be in condition for allowance and, therefore, early issuance thereof is earnestly solicited.